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PTO/SB/05 (11-00)  
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# UTILITY PATENT APPLICATION TRANSMITTAL

(Only for new nonprovisional applications under 37 CFR 1.53(b))

Attorney Docket No. NETD-0115-1  
First Inventor Groat et al.  
Title Financial Advisory Storage System  
Express Mail Label No.

## APPLICATION ELEMENTS

See MPEP chapter 600 concerning utility patent application contents.

1. ☒ Fee Transmittal Form (e.g., PTO/SB/17)  
(Submit an original and a duplicate for fee processing)
2. ☒ Applicant claims small entity status.  
See 37 CFR 1.27.
3. ☒ Specification [Total Pages 61]  
(preferred arrangement set forth below)
  - Descriptive title of the invention
  - Cross Reference to Related Applications
  - Statement Regarding Fed sponsored R & D
  - Reference to sequence listing, a table, or a computer program listing appendix
  - Background of the Invention
  - Brief Summary of the Invention
  - Brief Description of the Drawings (if filed)
  - Detailed Description
  - Claim(s)
  - Abstract of the Disclosure
4. ☒ Drawing(s) (35 U.S.C. 113) [Total Sheets 6]
5. Oath or Declaration [Total Pages]
  - a. ☐ Newly executed (original or copy)
  - b. ☒ Copy from a prior application (37 CFR 1.63-(d))  
(for continuation/divisional with Box 18 completed)
    - i. ☐ **DELETION OF INVENTOR(S)**  
Signed statement attached deleting inventor(s) named in the prior application, see 37 CFR 1.63(d)(2) and 1.33(b).
6. ☐ Application Data Sheet. See 37 CFR 1.76

ADDRESS TO: Assistant Commissioner for Patents  
Box Patent Application  
Washington, DC 20231

7. ☐ CD-ROM or CD-R in duplicate, large table or Computer Program (Appendix)
8. Nucleotide and/or Amino Acid Sequence Submission (if applicable, all necessary)
  - a. ☐ Computer Readable Form (CRF)
  - b. Specification Sequence Listing on:
    - i. ☐ CD-ROM or CD-R (2 copies); or
    - ii. ☐ paper
  - c. ☐ Statements verifying identity of above copies

## ACCOMPANYING APPLICATION PARTS

9. ☐ Assignment Papers (cover sheet & document(s))
10. ☒ 37 CFR 3.73(b) Statement (when there is an assignee) ☐ Power of Attorney
11. ☐ English Translation Document (if applicable)
12. ☐ Information Disclosure Statement (IDS)/PTO-1449 ☐ Copies of IDS Citations
13. ☒ Preliminary Amendment
14. ☐ Return Receipt Postcard (MPEP 503) (Should be specifically itemized)
15. ☐ Certified Copy of Priority Document(s) (if foreign priority is claimed)
16. ☐ Request and Certification under 35 U.S.C. 122 (b)(2)(B)(i). Applicant must attach form PTO/SB/35 or its equivalent.
17. ☒ Other: Associate P.O.A. & EDC sheet

18. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment, or in an Application Data Sheet under 37 CFR 1.76:

☐ Continuation ☒ Divisional ☐ Continuation-in-part (CIP)

of prior application No.: 09, 172, 847

Prior application information.

Examiner Kanof

Group Art Unit:

For CONTINUATION OR DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

## 19. CORRESPONDENCE ADDRESS

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or ☐ Correspondence address below

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Signature [Signature] Date

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Box Patent Application, Washington, DC 20231.

# FEE TRANSMITTAL FORM

| CLAIMS | FOR   | NUMBER FILED | NUMBER EXTRA   | RATE     | CALCULATIONS |
|--------|---|--------------|----------------|----------|--------------|
|        | TOTAL CLAIMS  | 66-20        | 46             | x\$18 =  | \$828.00     |
|        | INDEPENDENT CLAIMS  | 6-3          | 3              | x\$80 =  | \$240.00     |
|        | MULTIPLE DEPENDENT CLAIM(s) (if applicable)                                     |              |                | +\$270 = | \$0          |
|        |   |              | BASIC FEE      |          | \$710.00     |
|        |   |              | TOTAL OF ABOVE |          | \$1,778.00   |
|        | REDUCTION BY 50% FOR FILING BY SMALL ENTITY (note 37 C.F.R. §§ 1.9, 1 27, 1.28) |              |                |          | \$889.00     |
|        |   |              | TOTAL=         |          | \$889.00     |

1. ☒ A verified statement to establish small entity status under 37 CFR 1.9 and 1.27

☒ was filed in prior application number **09/172,847** filed October 15, 1998, and such status is still proper and desired (37 CFR 1.28(a)).

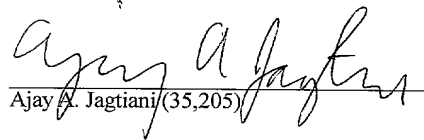
2. ☒ The Commissioner is hereby authorized to charge any additional fees which may be required under 37 CFR 1.16 and 1.17, or credit any overpayment to Deposit Account No. **10-0233 NETD-0115-1**.

3. ☒ Cancel in this application original claims **2** through **191** of the prior application before calculating the filing fee. (At least one original independent claim must be retained for filing purposes.)

Address all future communications: (May only be completed by applicant or attorney/agent of record.)

**JAGTIANI & ASSOCIATES**  
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February 5, 2001

  
Ajay A. Jagtiani/(35,205)

- ☒ Attorney or Agent of Record
- ☐ Inventor(s)
- ☐ Assignee of Complete Interest
- ☐ Filed under § 1.34(a)